

**Form PTO-1449** (modified)  
List of Patents and Publications  
For Applicant's Information  
Disclosure Statement  
(Use several sheets if necessary)

ATTY. DKT. NO. 5181-66100

APPLICANT: Saulpaugh et al

FILING DATE: October 19, 2000

SERIAL NO. 09/693,681

GROUP: 2152

**U.S. PATENT DOCUMENTS**

EXAM. INITIALS	REF. DES.	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	A1	5,455,952	10/3/95	Gjovaag			
	A2	5,386,568	1/31/95	Wold, et al.			
	A3	5,423,042	6/6/95	Jalili, et al.			
	A4	5,481,721	1/2/96	Serlet, et al.			
	A5	5,557,798	9/17/96	Skeen, et al.			
	A6	5,944,793	8/31/99	Islam, et al.			
	A7	5,946,485	8/31/99	Weeren, et al.			
	A8	5,946,694	8/31/99	Copeland, et al.			
	A9	4,491,946	1/1/85	Kryshow, Jr., et al.			
	A10	4,713,806	12/15/87	Oberlander, et al.			
	A11	4,809,160	2/28/89	Mahon, et al.			
	A12	4,939,638	7/3/90	Stephenson, et al.			
	A13	5,088,036	2/11/92	Ellis, et al.			
	A14	4,823,122	4/18/89	Mann, et al.			
	A15	4,956,773	9/11/90	Saito, et al.			
	A16	5,109,486	4/28/92	Seymour			
	A17	5,187,787	2/16/93	Skeen, et al.			
	A18	5,218,699	6/8/93	Brandle, et al.			
	A19	5,257,369	10/26/93	Skeen, et al.			
	A20	5,293,614	3/8/94	Ferguson, et al.			
	A21	5,297,283	3/22/94	Kelly, Jr., et al.			
	A22	5,307,490	4/26/94	Davidson, et al.			
	A23	5,311,591	5/10/94	Fischer			
	A24	5,339,435	8/16/94	Lubkin, et al.			
	A25	5,390,328	2/14/95	Frey, et al.			
	A26	5,440,744	8/8/95	Jacobson, et al.			

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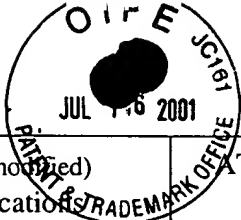
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## U.S. PATENT DOCUMENTS

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Cute	A54	5,644,768	7/1/97	Periwal, et al.			
	A55	5,652,888	7/29/97	Burgess, et al.			
	A56	5,655,148	8/5/97	Richman, et al.			
	A57	5,659,751	8/19/97	Heninger			
	A58	5,671,225	9/23/97	Hooper, et al.			
	A59	5,675,796	10/7/97	Hodges, et al.			
	A60	5,737,607	4/7/98	Hamilton, et al.			
	A61	5,745,678	4/28/98	Herzberg, et al.			
	A62	5,745,695	4/28/98	Gilchrist, et al.			
	A63	5,745,703	4/28/98	Cejtin, et al.			
	A64	5,745,755	4/28/98	Covey			
	A65	5,748,897	5/5/98	Katiyar			
	A66	5,754,849	5/19/98	Dyer, et al.			
	A67	5,757,925	5/26/98	Faybishenko			
	A68	5,761,656	6/2/98	Ben-Shachar			
	A69	5,764,897	6/9/98	Khalidi			
	A70	5,768,532	6/16/98	Megerian			
	A71	5,774,551	6/30/98	Wu, et al.			
	A72	5,778,228	7/7/98	Wei			
	A73	5,778,368	7/7/98	Hogan, et al.			
	A74	5,787,425	7/28/98	Bigus			
	A75	5,787,431	7/28/98	Shaughnessy			
	A76	5,790,548	8/4/98	Sistanizadeh, et al.			
	A77	5,802,367	9/1/98	Held, et al.			
	A78	5,808,911	9/15/98	Tucker, et al.			
	A79	5,809,507	9/15/98	Cavanaugh, III			
Cute	A80	5,813,013	9/22/98	Shakib, et al.			

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UHR	A81	5,815,149	9/29/98	Mutschler, III et al.			
↑	A82	5,815,709	9/29/98	Waldo, et al.			
	A83	5,815,711	9/29/98	Sakamoto, et al.			
	A84	5,818,448	10/6/98	Katiyar			
	A85	5,829,022	10/27/98	Watanabe, et al.			
	A86	5,832,219	11/3/98	Pettus			
	A87	5,832,529	11/3/98	Wollrath, et al.			
	A88	5,832,593	11/10/98	Wurst, et al.			
	A89	5,835,737	11/10/98	Sand, et al.			
	A90	5,842,018	11/24/98	Atkinson, et al.			
	A91	5,844,553	12/1/98	Hao, et al.			
	A92	5,845,129	12/1/98	Wendorf, et al.			
	A93	5,860,004	1/12/99	Fowlow, et al.			
	A94	5,860,153	1/12/99	Matena, et al.			
	A95	5,864,862	1/26/99	Kriens, et al.			
	A96	5,864,866	1/26/99	Henckel, et al.			
	A97	5,872,928	2/16/99	Lewis, et al.			
	A98	5,872,973	2/16/99	Mitchell, et al.			
	A99	5,875,335	2/23/99	Beard			
	A100	5,878,411	3/2/99	Burroughs, et al.			
	A101	5,884,024	3/16/99	Lin, et al.			
	A102	5,884,079	3/16/99	Furusawa			
	A103	5,887,134	3/23/99	Ebrahim			
	A104	5,890,158	3/30/99	House, et al.			
	A105	5,892,904	4/6/99	Atkinson, et al.			
✓	A106	5,933,497	8/3/99	Beetcher, et al.			
UHR	A107	5,935,249	8/10/99	Stern, et al.			

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Information Disclosure Statement--PTO 1449 (modified)

<b>Form PTO-1449</b> (modified) List of Patents and Publications For Applicant's Information Disclosure Statement (Use several sheets if necessary)	ATTY. DKT. NO. 5181-66100 APPLICANT: Saulpaugh et al. FILING DATE: October 19, 2000	SERIAL NO. 09/693,681 GROUP: 2152
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**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

Wtl	B1	"Java™ Remote Method Invocation Specification," Sun Microsystems, Inc., <java.sun.com/products/dk1.2beta1>, 1997.
↑	B2	Agha, et al., "Actorspaces: An Open Distributed Programming Paradigm," University of Illinois, Report No. UIUCDCS-R-92-1766, Open Systems Laboratory TR NO. 8, pp. 1-12, November 1992.
	B3	Ahmed, et al., "A Program Building Tool for Parallel Applications," Yale University, pp. 1-23, December 1, 1993.
	B4	Aldrich, et al., "Providing Easier Access to Remote Objects in Client-Server Systems," System Sciences, 1998, Proceedings of the 31 <sup>st</sup> Hawaii Internat'l. Conference, Jan. 6-9, 1998, pp. 366-375.
	B5	Aldrich, et al., "Providing Easier Access to Remote Objects in Distributed Systems," Calif. Institute of Technology, www.cs.Caltech.edu/%7Ejedi/paper.html, Nov. 21, 1997.
	B6	Anderson, et al., "Persistent Linda: Linda + Transaction + Query Processing," Proceedings of the 13 <sup>th</sup> Symposium on Fault Tolerant Systems, pp. 93-109, 1991.
	B7	"Transparent Network Computing," Locus Computing Corporation, January 5, 1995.
	B8	Alexander, et al., "Active Bridging," Proceedings of the ACM/SIGCOMM'97 Conference, Cannes, France, September, 1997.
	B9	Beech, et al., "Object Databases as Generalizations of Relational Databases," Computer Standards & Interfaces, Vol. 13, Nos. 1/3 pp. 221-230, Amsterdam, NL, January 1991.
	B10	Bertino, et al., "Object-Oriented Database Management Systems: Concepts and issues," Computer, Vol. 24, No. 4, pp. 33-47, Los Alamitos, CA, April 1991.
	B11	Betz, et al., "Interoperable Objects: Laying the Foundation for Distributed Object Computing," Dr. Dobb's Journal, Vol. 19, NO. 11, page 18(13), October 1994.
	B12	Bevan, et al., "An Efficient Reference Counting Solution To The Distributed Garbage Collection Problem," Parallel Computing, NL, Elsevier Science Publishers, Amsterdam, Vol. 9, No. 2, pages 179-192, January 1989.
	B13	Birrell, et al., "Distributed Garbage Collection for Network Objects," Digital Systems Research Center, NO. 116, pages 1-18, December 15, 1993.
	B14	Birrell, et al., "Grapevine: An Exercise in Distributed Computing," Communications fo the ACM, Vol. 25, No. 4, pp. 260-274, April 1982.
	B15	Birrell, et al., "Network Objects," DEC SRC Research Report 115, February 28, 1995.
	B16	Birrell, et al., "Implementing Remote Procedure Calls," ACM Transactions on Computer Systems, Vol. 2, No. 1, pp. 39-59, February 1994.
	B17	Birrell, et al., "Network Objects," Operating Systems Review, 27(5), pp. 217-230, December 1993.
	B18	Cannon, et al., "Adding Fault-Tolerant Transaction Processing to LINDA," Software-Practice and Experience, Vol. 24(5), pp. 449-466, May 1994.
↓	B19	Cardelli, "Obliq, A Lightweight Language For Network Objects," Digital SRC, pp. 1-37, November 5, 1993.
Wtl	B20	Carriero, et al., "Distributed Data Structures in Linda," Principles of Programming Language, pp. 1-16, 1986.

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will	B21	Carriero, et al., "Distributed Data Structures in Linda," Yale Research Report YALEU/DCS/RR-438, November 1985.
↑	B22	Chung, et al., "A Tiny' Pascal Compiler: Part 1: The P-Code Interpreter," BYTE Publications, Inc., September 1978.
	B23	Chung, et al., "A Tiny' Pascal Compiler: Part 2: The P-Compiler," BYTE Publications, Inc., October 1978.
	B24	Dave, et al., "Proxies, Application Interface, And Distributed Systems," Proceedings International Workshop On Object Orientation In Operating Systems, pages 212-220, September 24, 1992.
	B25	Deux, et al., "The O2 System," Communications Of The Association For Computing Machinery, Col. 34, No. 10, pages 34-48, October 1, 1991.
	B26	Dijkstra, "Self-stabilizing Systems in Spite of Distributed Control," Communications of the ACM, Vol 17, No. 11, pp. 643-644, November 1974.
	B27	Dolev, et al., "On the Minimal Synchronism Needed for Distributed Consensus," Journal of the ACM, Vol. 34, NO. 1, pp. 77-97, January 1987.
	B28	Dollimore, et al., "The design of a System for Distributing Shared Objects," The Computer Journal, No. 6, Cambridge, GB, December 1991.
	B29	Dourish, "A Divergence-Based Model of Synchrony and Distribution in Collaborative Systems," Xerox Technical Report EPC-1194-102, pp. 1-10, 1994.
	B30	Drexler, et al., "Incentive Engineering for Computational Resource Management," The Ecology of Computation, Elsevier Science Publishers B.V., pp. 231-266, 1988.
	B31	Gelernter, et al., "Parallel Programming in Linda," Yale University, pp. 1-21, January 1995.
	B32	Droms, "RFC 1541 Dynamic Host Configuration Protocol," < <a href="http://www.cis.ohio-state.edu.htbin/rfc/rfc1541.html">http://www.cis.ohio-state.edu.htbin/rfc/rfc1541.html</a> >, pages 1-33, October 1993.
	B33	Emms, "A Definition Of AN Access Control Systems Language," Computer Standards And Interfaces, Vol. 6, No. 4, pp. 443-454, January 1, 1997.
	B34	Fleisch, et al., "High Performance Distributed Objects Using Distributed Shared Memory & Remote Method Invocation," System Sciences, 1998, Proceedings of the 31 <sup>st</sup> Hawaii Internat'l. Conference, Jan. 6-9, 1998, pp. 574-578.
	B35	Gelernter, "Generative Communication in Linda," ACM Transactions on Programming Languages and Systems, Vol. 7, No. 1, pp. 80-112, January 1985.
	B36	Gottlob, et al., "Extending Object-Oriented Systems with Roles," ACM Transactions On Information Systems, Vol. 14, NO. 3, pp. 268-296, July 1996.
	B37	Gray, et al. "Leases: An Efficient Fault-Tolerant Mechanism for Distributed File Cache Consistency," ACM, pp. 202-210, 1989.
✓	B38	Guth, "JavaOne: Sun to Expand Java Distriubted Computing Effor," < <a href="http://www.sunworld.com/swol-02-1998/swol-02-sunspots.html">http://www.sunworld.com/swol-02-1998/swol-02-sunspots.html</a> >, XP-002109935, p.1, February 20, 1998.
will	B39	Guyennet, et al., "A New Consistency Protocol Implemented in the CaliF System," IEEE, 1094-7256/97, pp. 82-87, 1997.

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cut	B40	Guyennet, et al., "Distributed Shared Memory Layer for Cooperative Work Applications," IEEE, 0742-1303/97, pp. 72-78, 1997.
↑	B41	Hamilton, et al., "Subcontract: A Flexible Base for Distributed Programming," Proceedings of 14 <sup>th</sup> Symposium of Operating System Principles, December 1993.
	B42	Hamilton, "Java and the Shift to Net-Centric Computing," Computer, pp. 31-39, August 1996.
	B43	Harris, et al., "Proposal for a General Java Proxy Class for Distributed Systems and Other Uses," Netscape Communications Corp., June 25, 1997.
	B44	Hartman, et al., "Liquid Software: A New Paradigm For Networked Systems," Technical Report 96-11, Dept. of Comp. Sci., Univ. of Arizona, June 1996.
	B45	Howard, et al., "Scale and Performance in a Distributed File System," ACM Transactions on Computer Systems, Vol. 6, No. 1, pp. 51-81, February 1988.
	B46	Pier, "A Retrospective on the Dorando, A High-Performance Personal Computer," Xerox Corporation, August 1983.
	B47	Pinakis, "Using Linda as the Basis of an Operating System Microkernel," University of Western Australia, Dept. of Computer Science, pp. 1-165, August 1993.
	B48	Riggs, et al., "Picking State in the Java <sup>TM</sup> System," USENIX, Association Conference on Object-Oriented Technologies and Systems, CP-002112719, pp. 241-250, June 17-21, 1996.
	B49	Rosenberry, et al., "Understanding DCE," Chapters 1-3, 6, 1992.
	B50	Sharrott, et al., "ObjectMap: Integrated High Performance Resources into a Distributed Object-oriented Environment," ICODP, 1995.
	B51	Stevenson, "Token-Based Consistency of Replicated Servers," IEEE, CH2686-4/89/0000/0179, pp. 179-183, 1989.
	B52	Thompson, "Regular Expression Search Algorithm," Communications of the ACM, Vol. II, No. 6, p. 149 et seq., June 1968.
	B53	Venners, "Jini Technology, Out of the Box," JAVAWORLD, 'Online!', pp. 1-4, December 1998.
	B54	Waldo, et al., "Events in An RPC Based Distributed System," Proceedings Of The 1995 USENIX Technical Conference, Proceedings USENIX Winter 1995 Technical Conference, New Orleans, LA, USA, 16-20, pages 131-142, January 1995.
	B55	Wilson, et al., "Design of the Opportunistic Garbage Collector," Proceedings of the Object Oriented Programming Systems Languages And Applications Conference, New Orleans, Vol. 24, No. 10, October 1989.
	B56	Wollrath, et al., "A Distributed Object Model for theJaca <sup>TM</sup> System," USENIX Association, Conference on Object-Oriented Technologies and Systems, June 17-21, 1996.
	B57	Wu, "A Type System For An Object-Oriented Database Systems," Proceedings of the International Computer Software and Applications Conference (COMPSAC), Tokyo, Japan, pp. 333-338, Sept. 11-13, 1991.
✓	B58	Yemini, et al., "Towards Programmable Networks," IFIP/IEEE International Workshop on Distributed Systems: Operations and Management, L'Aquila, Italy, October 1996.
cut	B59	Yin, et al., "Using Leases to Support Server Driven Consistency in Large-Scale Systems," Computer Services Department, University of Texas at Austin, p. 285-294, May 26-28, 1998.

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cert ↑	B60	Yin, et al., "Volume Leases for Consistency in Large-Scale Systems," IEEE Transactions on Knowledge & Data Engineering, Vol. 11, No. 4, pp. 563-576, July/August 1999.
	B61	Mitchell, et al., "An Overview of the Spring System," February 1994.
	B62	Mitchell, et al., "Mesa Language Manual," Xerox Corporation, Palo Alto Research Center, 1978.
	B63	McDaniel, "An Analysis of a Mesa Instruction Set," Xerox Corporation, May 1982.
	B64	McGrath, "Discovery and its Discontents: Discovery Protocols for Ubiquitous Computing," Presented at Center for Excellence in Space Data and Information Science, NASA Goddard Space Flight Center, April 5, 2000.
	B65	Mummert, et al., "Long Term Distributed File Reference Tracing: Implementation and Experience," Carnegie Mellon University School of Computer Science, pp. 1-28, November 1994.
	B66	Orfali, et al., "The Essential Distributed Objects Survival Guide," Chapter 11: Corba Commercial ORBs, pages 203-215, John Wiley & Sons, Inc., 1996.
	B67	Ousterhout, et al., "The Sprite Network Operating System," Computer, IEEE, pp. 23-36, February 1988.
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	B69	Hunt, "IDF: A Graphical Data Flow Programming Language for Image Processing and Computer Vision," Proceedings of the International Conference on Systems, Man, and Cybernetics, pp. 351-360, Los Angeles, Nov. 4-7, 1990.
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	B71	IBM, "Chapter 6 - Distributed SOM (DSOM)," SOMobjects Developer Toolkit Users Guide, Version 2.1, pages 6-1-6-90, October 1994.
	B72	Anonymous, "Change-Notification Service for Shared Filed," IBM Technical Disclosure Bulletin, Vol. 36, No. 8, pages 77-82, XP002109435 New York, US, November 1973.
	B73	IBM <sup>TM</sup> Technical Disclosure Bulletin, "Retrieval of Qualified Variables Using Extendible Hashing," Vol. 36, No. 12, pp. 301-303, December 1993.
	B74	Anonymous, "Resource Preemption for Priority Scheduling," IBM TECHNICAL DISCLOSURE BULLETIN, Vol. 16, No. 6, page 1931, XP002109435 New York, US, November 1973.
	B75	IBM <sup>TM</sup> Technical Disclosure Bulletin, "Local Network Monitoring to Populate Access Agent Directory," Vol. 36, No. 09A, pp. 403*405, September 1993.
	B76	MUX-Elektronik, Java 1.1 Interactive Course, www.lls.se/~mux/javaic.html, 1995.
	B77	Jones, et al., "Garbage Collection: Algorithms for Automatic Dynamic Memory Management," pages 165-175, John Wiley & Sons, 1996.
✓	B78	Kambhatla, et al., "Recovery with Limited Replay: Fault-Tolerant Processes in Linda," Oregon Graduate Institute, Technical Report CSIE 90-019, pp. 1-16, September 1990.
cert	B79	Kay, et al., "An Overview of the Raleigh Object-Oriented Database System," ICL Technical Journal, Vol. 7, No. 4, pp. 780-798, Oxford, GB, November 1991.

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WHL	D1	5,778,187	7/7/98	Monteiro, et al.			
WHL	D2	5,832,529	11/3/98	Wollrath, et al.			
WHL	D3	6,016,500	1/18/00	Waldo, et al.			

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WHL	C1	11-45187	10/10/97	JP			
↑	C2	2 253 079	8/26/92	GB			
	C3	2 262 825	6/30/93	GB			
	C4	2 305 087	3/26/97	GB			
	C5	300 516	1/25/89	EP			
	C6	351 536	1/24/90	EP			
	C7	384 339	8/29/90	EP			
	C8	472 874	3/4/92	EP			
	C9	474 340	3/11/92	EP			
	C10	497 022	8/5/92	EP			
	C11	555 997	8/18/93	EP			
	C12	565 849	10/20/93	EP			
	C13	569 195	11/10/93	EP			
	C14	697 655	2/21/96	EP			
	C15	660 231	6/28/95	EP			
	C16	651 328	5/3/95	EP			
	C17	625 750	11/23/94	EP			
	C18	718 761	6/26/96	EP			
	C19	767 432	4/9/97	EP			
✓	C20	778 520	6/11/97	EP			
WHL	C21	794 493	9/10/97	EP			

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**Form PTO-1449** (modified)  
List of Patents and Publications  
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ATTY. DKT. NO. 5181-66100

SERIAL NO. 09/693,681

APPLICANT: Saulpaugh et al.

GROUP: 2152

FILING DATE: October 19, 2000

**FOREIGN PATENT DOCUMENTS**

EXAM. INITIALS	REF. DES.	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES/NO
WHL	C22	803 810	10/29/97	EP			
↑	C23	803 811	10/29/97	EP			
	C24	805 393	11/5/97	EP			
	C25	810 524	12/3/97	EP			
	C26	817 020	1/7/98	EP			
	C27	817 022	1/7/98	EP			
	C28	817 025	1/7/98	EP			
	C29	836 140	4/15/98	EP			
	C30	92/07335	4/30/92	WO			
	C31	92/09948	6/11/92	WO			
	C32	93/25962	12/23/93	WO			
	C33	94/03855	2/17/94	WO			
	C34	96/10787	4/11/96	WO			
	C35	96/03692	2/8/96	WO			
	C36	96/18947	6/20/96	WO			
✓	C37	96/24099	8/8/96	WO			
	C38	98/02814	1/22/98	WO			
WHL	C39	98/04971	2/5/98	WO			

**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

WHL	C40	Jaworski, "Java 1.1 Developer's Guide, 2 <sup>nd</sup> Edition," Sams.net, 1997.
↑	C41	Coulouris, et al., "Distributed Systems Concepts and Designs," Second Edition, Addison-Wesley, 1994.
	C42	Mullender, "Distributed Systems," Second Edition, Addison-Wesley, 1993.
	C43	Lindholm, et al., "The Java <sup>TM</sup> Virtual Machine Specification," Addison Wesley, 1996.
	D4	"SOAP: Simple Object Access Protocol," msdn online Web Workshop, Microsoft, April 26, 2000, <a href="http://msdn.Microsoft.com/xml/general/soapspec.asp">http://msdn.Microsoft.com/xml/general/soapspec.asp</a> , 34 pages.
✓	D4	Rob Guth, "Sun tries on JcaSpaces for Distributed OS," August 1997, Vol. 19, Issue 34, 2 pages.
WHL	D6	Microsoft, "Microsoft.NET: Realizing the Next Generation Internet," A Microsoft White Paper, June 2000, 8 pages.

EXAMINER:

*WHL*

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